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on February 25, 2004

*Glenn P. Ladwig*  
Glenn P. Ladwig, Patent Attorney

# INFORMATION DISCLOSURE STATEMENT

Examining Group 1632

Patent Application

Docket No. GJE-21D2

Serial No. 09/760,274

MAR 08 2004

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner : Michael C. Wilson  
Art Unit : 1632  
Applicants : John Sinden, Jeffrey A. Gray, Helen Hodges, Timothy Kershaw, Fiza Rashid-Doubell  
Serial No. : 09/760,274  
Filed : January 12, 2001  
Conf. No. : 3086  
For : Neural Transplantation Using Pluripotent Neuroepithelial Cells

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR §§1.97 AND 1.98

Sir:

In accordance with 37 CFR §1.56, the references listed on the attached Form PTO/SB/08 are being brought to the attention of the Examiner for consideration in connection with the examination of the above-identified patent application. Copies of the cited documents are enclosed.

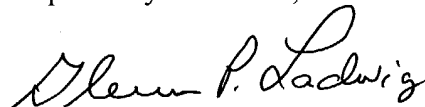
This information is being submitted subsequent to the later of three months after the filing date of the present application or the mailing of the first Office Action on the merits, but before the mailing of a final action or the notice of allowance. Please charge the fee of \$180.00 to Deposit Account No. 19-0065.

03/03/2004 EHAILE1 00000111 190065 09760274

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The applicants respectfully assert that the substantive provisions of 37 CFR §§1.97 and 1.98 are met by the foregoing statements.

Respectfully submitted,



Glenn P. Ladwig

Patent Attorney

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Gainesville, FL 32606-6669

GPL/mv

Attachments: Form PTO/SB/08 (2 pages); copies of references cited therein



MAR 08 2004

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>Substitute for form 1449A/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				<b>Application Number</b>	09/760,274
				<b>Filing Date</b>	January 12, 2001
				<b>First Named Inventor</b>	John Sinden
				<b>Art Unit</b>	1632
				<b>Examiner Name</b>	Michael C. Wilson
				<b>Attorney Docket Number</b>	GJE-21D2
Sheet	1	of	2		

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	U1	US-2003/0147873 A1	08-07-2003	Sinden et al.	All
	U2	US-2002/0123143 A1	09-05-2002	Toma et al.	All
	U3	US-6,399,384 B1	06-04-2002	Jat	All
	U4	US-6,528,306 B1	03-04-2003	Snyder et al.	All
	U5	US-5,817,773	10-06-1998	Wilson et al.	All
	U6	US-5,690,927	11-25-1997	Major et al.	All
	U7	US-09/913,443	08-14-2001	Price (patent application)	All
	U8	US-			
	U9	US-			

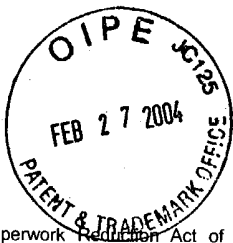
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup>	Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)			
	F1	WO	00/50568 A3	08-31-2000	Reneuron Limited	All
	F2	WO	98/07841 A1	02-26-1998	Univ. Mass.	All
	F3	WO	93/18137 A1	09-16-1993	Systemix, Inc.	All
	F4	WO	92/11355 A1	07-09-1992	Regents. of Univ. Calif.	All
	F5	WO	89/09816 A1	10-19-1989	Mass. Inst. Tech.	All
	F6					
	F7					

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard T.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

**Complete if Known**

Application Number	09/760,274
Filing Date	January 12, 2001
First Named Inventor	John Sinden
Group Art Unit	1632
Examiner Name	Michael C. Wilson
Attorney Docket Number	GJE-21D2

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	R1	ANDERSON, W.F. "Human gene therapy" <i>Nature</i> , 1998, 392:25-30.	
	R2	ALLAY, J.A. <i>et al.</i> "LacZ and interleukin-3 expression <i>in vivo</i> after retroviral transduction of marrow-derived human osteogenic mesenchymal progenitors" <i>Human Gene Therapy</i> , 1997, 8:1417-1427.	
	R3	CHOPP, M. <i>et al.</i> "Adult bone marrow transplantation for treatment of stroke in adult mice" <i>Society for Neuroscience</i> , 1999, 25:1309, abstract no. 528.2 (abstract).	
	R4	CEPKO, C.L. "Immortalization of neural cells via retrovirus-mediated oncogene transduction" <i>Ann. Rev. Neurosci.</i> , 1989, 12:47-65.	
	R5	FREDERIKSEN, K. <i>et al.</i> "Immortalization of Precursor Cells from the Mammalian CNS" <i>Neuron</i> , 1988, 1:439-448.	
	R6	JAT, P.S. "Direct derivation of conditionally immortal cell lines from an <i>H-2K<sup>b</sup></i> -tsA58 transgenic mouse" <i>Proc. Natl. Acad. Sci. USA</i> , 1991, 88:5096-5100.	
	R7	MAJOR, E.O. <i>et al.</i> "Establishment of a line of human fetal glial cells that supports JC virus multiplication" <i>Proc. Natl. Acad. Sci. USA</i> , 1985, 82:1257-1261.	
	R8	MEZEY, E. and K.J. CHANDROSS "Bone marrow: a possible alternative source of cells in the adult nervous system" <i>Euro. J. Pharmacology</i> , 2000, 405:297-302.	
	R9	PALU, G. <i>et al.</i> "In pursuit of new developments for gene therapy of human diseases" <i>J. Biotechnology</i> , 1999, 68:1-13.	
	R10	WYLLIE, F.S. <i>et al.</i> "A phenotypically and karyotypically stable human thyroid epithelial line conditionally immortalized by SV40 large T antigen" <i>Cancer Res.</i> , 1992, 52:2938-2945.	
	R11	Stem Cells: Scientific Progress and Future Research Directions, June 2001, Introductory Chapter and Chapters 8 and 11.	
	R12		
	R13		

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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